

2566-106  
vmd



*See 108*  
*#*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of ) **ATTENTION: INITIAL PATENT**  
David C. CUSHING et al. ) **EXAMINATION DIVISION**  
Serial No. 09/699,503 ) Examiner: unknown  
Filed: October 31, 2000 ) Group Art Unit: 2161  
For: SYSTEM AND METHOD FOR )  
EXECUTING STRATEGY )  
SECURITY TRADING )

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**JAN 30 2001**

**OFFICE OF PETITIONS**

RESPONSE TO NOTICE TO FILE MISSING PARTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Notice to File Missing Parts dated January 17, 2001 (copy enclosed), applicants point out that the subject patent application was filed with a petition to accept the application without the signature of co-inventor D'Souza, under 37 CFR § 1.47(a) (copy also enclosed with copy of stamped PTO receipt).

Accordingly, withdrawal of the Notice to File Missing Parts and action on the petition to accept application under Rule 47(a) is requested.

Please charge any fee or credit any overpayment pursuant to 37 CFR 1.16 or 1.17 to Deposit Account No. 02-2135.

Respectfully submitted,

ROTHWELL, FIGG, ERNST & MANBECK, p.c.

By Vincent M DeLuca

Vincent M. DeLuca  
Attorney for Applicants  
Registration No. 32,408

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555 Thirteenth Street, N.W.  
Suite 701 East Tower  
Washington, D.C. 20004  
Telephone: (202)783-6040

Enclosure(s): Copy of Rule 47(a) Petition; copy of stamped PTO  
receipt

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NEW APPLICATIONS ONLY

THE PATENT OFFICE'S STAMP HEREIN IS ACKNOWLEDGEMENT

BY IT OF RECEIPT ON THE DATE STAMPED OF Trans. Sheet, Fee Trans.  
Appln., Dec. 4, Sheet of Drawings, 1m. Entry Dec., Assign.  
Form 1595, \$40 Ch., Petition for Filing Under Rule 47(a)  
\$130 Ch

DOCKET NO. 2566-106

APPLICANT: David C. Cushing et al.

TITLE: System and Method for Executing Strategy  
Security Trading

NO. OF SPECIFICATION PAGES 201 NO. OF CLAIMS 16

SHEETS OF DRAWINGS 4

OATH \_\_\_\_\_ OR DECLARATION ☒

FEE \$ 355 CHECKS ☒ OR DEPOSIT ACCOUNT \_\_\_\_\_

TYPIST'S INITIALS CJK

ATTORNEY'S INITIALS VMD VMD

JCS17 U.S. PTO  
09/699503  
10/31/00

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FILE NO. 2566-106  
OK TO FILE

ENTERED  
11/10/00 D.W.



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/699,503	10/31/2000	David C. Cushing	2566-106

Rothwell Figg Ernst & Manbeck PC  
555 13th Street NW  
Suite 701-E  
Washington, DC 20004

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## FORMALITIES LETTER



\*OC000000005684239\*

Date Mailed: 01/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

### Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Rohit D'Souza*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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01/29/2001

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Adjustment date: 03/16/2001 LGIBBS